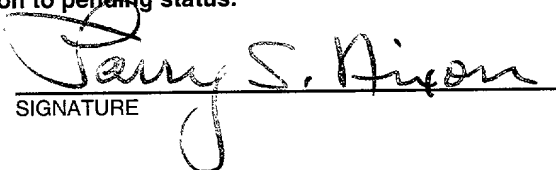


FORM PTO-1390 (REV 11-98)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER <b>36-1377</b>
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) <b>09/647711</b> <small>Unknown</small>
INTERNATIONAL APPLICATION NO. <b>PCT/GB99/01278</b>	INTERNATIONAL FILING DATE <b>23 April 1999</b>	PRIORITY DATE CLAIMED <b>27 April 1998 and 4 September 1998</b>
TITLE OF INVENTION <b>DATABASE ACCESS TOOL</b>		
APPLICANT(S) FOR DO/EO/US <b>CORLEY et al</b>		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<p>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</p> <p>4. <input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19<sup>th</sup> month from the earliest claimed priority date.</p> <p>5. A copy of the International Application as filed (35 U.S.C. 371(c)(2)).</p> <p>a. <input checked="" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</p> <p>b. <input checked="" type="checkbox"/> has been transmitted by the International Bureau.</p> <p>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</p> <p><input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</p> <p>b. <input type="checkbox"/> have been transmitted by the International Bureau.</p> <p>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has <b>NOT</b> expired.</p> <p>d. <input type="checkbox"/> have not been made and will not be made.</p> <p><input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (U.S.C. 371(c)(3)).</p> <p><input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p>		
<b>Items 11. To 16. Below concern document(s) or information included:</b>		
<p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.</p> <p>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.</p> <p>13. <input checked="" type="checkbox"/> A FIRST preliminary amendment. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</p> <p>14. <input type="checkbox"/> A substitute specification.</p> <p>15. <input type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>16. <input type="checkbox"/> Other items or information.</p>		

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) <b>Unknown 647711</b>		INTERNATIONAL APPLICATION NO. <b>PCT/GB99/01278</b>		ATTORNEY'S DOCKET NUMBER <b>36-1377</b>							
17. <input checked="" type="checkbox"/> The following fees are submitted:				<b>CALCULATIONS</b> PTO USE ONLY							
<b>BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5)):</b> -- Neither international preliminary examination fee (37 C.F.R. 1.482) nor international search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO .....\$1000.00 -- International preliminary examination fee (37 C.F.R. 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO.....\$860.00 -- International preliminary examination fee (37 C.F.R. 1.482) not paid to USPTO but international search fee (37 C.F.R. 1.445(a)(2) paid to USPTO .....\$710.00 -- International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4).....\$690.00 -- International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4).....\$100.00  <div style="text-align: right;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></div>				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:10%; text-align: right;">\$</td> <td style="width:70%; text-align: right;">860.00</td> <td style="width:20%;"></td> </tr> <tr> <td style="text-align: right;">\$</td> <td style="text-align: right;">0.00</td> <td></td> </tr> </table>		\$	860.00		\$	0.00	
\$	860.00										
\$	0.00										
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(e)).											
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE								
Total Claims	5	-20 = 0	X \$18.00	\$	0.00						
Independent Claims	1	-3 = 0	X \$80.00	\$	0.00						
MULTIPLE DEPENDENT CLAIMS(S) (if applicable)			\$270.00	\$	0.00						
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$	<b>860.00</b>						
Reduction by 1/2 for filing by small entity, if applicable. A Small Entity Statement must also be filed (Note 37 C.F.R. 1.9, 1.27, 1.28).				\$	0.00						
<b>SUBTOTAL =</b>				\$	<b>860.00</b>						
Processing fee of \$130.00, for furnishing the English Translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(f)).				\$	0.00						
<b>TOTAL NATIONAL FEE =</b>				\$	<b>860.00</b>						
Fee for recording the enclosed assignment (37 C.F.R. 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property				\$	40.00						
Fee for Petition to Revive Unintentionally Abandoned Application (\$1240.00 - Small Entity = \$620.00)				\$	0.00						
<b>TOTAL FEES ENCLOSED =</b>				\$	<b>900.00</b>						
				Amount to be:							
				refunded	\$						
				Charged	\$						
<p>a. <input checked="" type="checkbox"/> A check in the amount of \$900.00 to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. 14-1140 in the amount of \$_____ to cover the above fees. A duplicate copy of this form is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 14-1140. A duplicate copy of this form is enclosed.</p> <p>d. <input checked="" type="checkbox"/> The entire content of the foreign application(s), referred to in this application is/are hereby incorporated by reference in this application.</p> <p><b>NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b></p> <p><b>SEND ALL CORRESPONDENCE TO:</b></p> <p>NIXON &amp; VANDERHYE P.C. 1100 North Glebe Road, 8<sup>th</sup> Floor Arlington, Virginia 22201 Telephone: (703) 816-4000</p> <div style="text-align: right;">         SIGNATURE         Larry S. Nixon        NAME     </div> <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div>25,640 REGISTRATION NUMBER</div> <div>October 4, 2000 Date</div> </div>											

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

**CORLEY et al**

Atty. Ref.: 36-1377

Serial No. Unknown

Group:

National Phase of PCT/GB99/01278

Filed: October 4, 2000

Examiner:

For: DATABASE ACCESS TOOL

\* \* \* \* \*

October 4, 2000

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

**PRELIMINARY AMENDMENT**

Prior to calculation of the filing fee and in order to place the above identified application in better condition for examination, please amend the claims as follows:

**IN THE CLAIMS**

Claim 4, line 1, delete "Claims 2 or 3" and insert -- Claim 2 --.

Claim 5, line 1, delete "any preceding" and after "claim" insert -- 1 --.

**REMARKS**

The above amendments are made to place the claims in a more traditional format.

Respectfully submitted,

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S/PRTS

09/647711

528 Rec'd PCT/PTO 04 OCT 2000

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DATABASE ACCESS TOOL

The present invention relates to querying databases.

Databases can be very large and complex. An example is the marketing  
5 domain. This domain is characterised by very large databases containing many  
Gigabytes of customer related information. Many different types of users can need to  
query a database. In large businesses, there are usually many roles associated with  
accessing data. These roles include people who specify queries, those that test  
them, tuners who carry out optimisation and then those who execute the queries.

10 Queries to such databases need to be carefully structured and query  
languages have developed, such as Structured Query Language (SQL). The SQL  
language consists of a set of facilities for defining, manipulating and controlling data in  
a relational database. SQL, pronounced Sequel, was originally an abbreviation for  
Structured Query Language. SQL is essentially two languages, a data definition  
15 language (DDL), for declaring structures and integrity constraints of SQL databases,  
and a data manipulation language (DML), for declaring the database procedures and  
executable statements of a specific database application program. It is both a formal  
standard and an industry standard. SQL was formally "standardised" by the American  
National Standards Institute (ANSI) in 1986 as ANS X3.135.1986 (normally known as  
20 SQL86.) The ANSI SQL standard was fully adopted by ISO in 1987 as IS 9075:1987.

SQL remains complex and the creation of a database query for a database of  
any complexity is still a specialist and often time consuming activity.

According to embodiments of the present invention, there is provided:

- (i) means for constructing database queries;

- (ii) a query store for storing database queries;
- (iii) a search tool for searching the query store against a constructed query; and
- (iv) query submission means for selecting between a constructed query and a query located against it by the search tool, and for submitting the selected  
5 query to a database.

Corporate databases are continually increasing in size and complexity. Over a period of time many queries will be submitted to these databases often repeating what was asked previously. Each query that is created incorporates implicitly some knowledge which could be useful for future similar queries. It has been recognised in  
10 making the present invention that it is possible to make this knowledge widely available across a community of users, for instance across a company.

Embodiments of the present invention make it possible not only to exploit a corporate database query knowledge but also to control queries submitted to large data repositories. That is, the combination of the query store and the means for  
15 constructing database queries allows structure to be imposed on new queries as well as allowing reuse of previous queries.

Advantageously, the query store and search tool use case based reasoning (CBR) principles and the means for constructing database queries does so to create a query as a case. This can be used to impose structure to be imposed on new  
20 queries.

CBR is a known technique which uses previous cases of problems and their solutions to solve new problems. A relevant publication is "Case-Based Reasoning: Experiences, Lessons and Future Directions" edited by D Leake and published in 1996 by AAAI Press, Menlo Park.

Embodiments of the present invention are particularly intended for use with structured query languages such as SQL. Intelligent query management according to embodiments of the present invention can then support a wide range of users with varying skill levels, from the complete SQL novice to the SQL expert, and can do it

5 efficiently and effectively. Using a case-based approach, consistent and best practices can be encouraged across the organisation. Not only can the system itself improve over time as new cases are added but also the users' skill levels will increase due to inherent 'training' characteristics of the CBR systems. Furthermore, because experience is being captured the organisation will tend to be less vulnerable to the

10 skill-loss effects of staff turnover.

From a technical viewpoint, CBR has also been found particularly appropriate. SQL has a well-defined and reasonably limited basic structure. This structure can be easily mapped into a case structure. For a target user base such as marketing, the requirements are often in the form of free-text. The natural language

15 and text matching capabilities commonly found in CBR packages are therefore extremely useful.

In addition to storing a query, the results of the query can be stored. Preferably, therefore, embodiments of the present invention further provide a query results store and means for searching it. If a newly constructed query is identical or

20 similar to a query already stored in the query store, then it may be that existing results can be used and neither the new query nor the stored query need be submitted. This saves precious central processing time in the database (Of course, if the stored results are too old then it may still be necessary for one of the queries to be selected and submitted in order to get fresh results). Preferably, the query store is provided in a

25 cache.

A query construction tool will now be described as an embodiment of the present invention, by way of example only, with reference to the following figures, in which:

Figure 1 shows schematically the context in which the query construction tool sits in use;

Figure 2 shows the components of the query construction tool of Figure 1;

Figure 3 shows a flow chart of the overall process provided by the query construction tool; and

Figures 4, 5 and 6 show examples of user interface states presented to a user in use of the query construction tool.

Referring to Figure 1, the query construction tool 100 can be installed on processing capacity on any platform capable of supporting it. In this embodiment, the tool 100 is installed on a server 105 connected to a local area network (LAN) 110. Users have access from client workstations 115 which may be personal computers or may for instance primarily provide processing and interface capacity for running software processes normally installed elsewhere.

In order to support the tool 100, it is necessary to install an environment on the server 105 which supports case-based reasoning. An environment which was found particularly suited was ART\*Enterprise provided by Brightware Inc. Information on this environment can be obtained from the Brightware Inc. Website on the Internet located at "[http://www.Brightware.com/www\\_home.html](http://www.Brightware.com/www_home.html)". The environment was chosen because of its flexible CBR facilities integrated seamlessly with rule based and object oriented capabilities. Another important feature was its ability to create case-bases from existing data sources in various formats including Oracle, Dbase4, Excel and

Access. The environment also provides user interface construction facilities which allow demonstrations to be built quickly.

Other CBR environments could however be used in place of ART\*Enterprise, such as Inference. Inference however is not particularly well-suited. Inference is structured more for a "Help Desk " scenario and would require a lot of questions to be answered automatically, within the tool itself, in order to be useful. Also, Inference does not support direct access to existing Oracle data sources.

The server 105 is connected via the LAN 110 to the Internet 125 and can therefore be accessed by users over the Internet. Otherwise, users can use a LAN connection or a local connection to the server 105. The user's workstation 115 needs to be able to support an ART\*Enterprise client and the processing capability of at least a 486 processor is probably required for reasonable performance.

A database 120 which the tool 100 is used to submit queries to may be remote to the server 105, for instance accessible via the LAN 110, or could be local to the server 105, even for instance actually installed on the server 105.

The tool 100 comprises data as well as processing logic, the data being stored in a query store 130 and a results store 135. These stores may be external to the tool 100 or built into it. Such choices are well known to the person skilled in the art and are not further discussed herein.

Referring to Figure 2, in the same way it is not necessary that the database 120 to be queried should be sited as shown in Figure 1. As in distributed environments generally, it does not necessarily matter to a great extent where data is stored, as long as there is capacity and access and it may be preferable to site the database 120 to be queried on the server 105, together with the query construction tool 100.



The primary functional blocks of the query construction tool 100 are a query generator 200, results presentation 205 and management information processing 210. In support of the management information processing 210, there is also provided a behaviour database 230 which maintains count information with respect to queries in  
 5 the query store 130.

#### **Overview Of CBR-Based Querying Process.**

In general, a user can use the query generator 200 to construct a new query and submit it to the query casebase 130 as a "case" in CBR terms. If there are similar queries already in the casebase 130, they will be returned to the user workstation 115  
 10 where the user can select either to use their constructed query or an existing query. The selected query is then submitted to the main database 120. Results are returned to the user workstation 115 via the results presentation capability 205.

Alternatively, where there was an existing query, there may already be results stored in the results store 135. The user may choose not to submit either their  
 15 constructed query or the existing query but just to view the stored results.

The user can start from nothing or use an existing query as the basis for describing the requirements for a new query. Once the user is happy with the description of a query they have constructed, then a case-based search of the casebase 130 is used to find existing queries which may meet their requirements.  
 20 Any of the returned queries can be selected and browsed. If the results for a particular query exist they will have been stored in the results database 135 and the user may view them immediately. Alternatively the user may re-submit that query with or without modification. If a new query is sufficiently different from those stored in the past then it is added automatically to the casebase 130, whether it was constructed  
 25 entirely from scratch or is an amended version of an existing query.

The count information maintained by the management information processing capability 210 in the behaviour database 230 can later be used to review usage patterns with respect to the query database 130 and the stored results database 135. In particular, there are three counts, these being "select" which increments when a query in the case base 130 is selected, "view" which is incremented when results stored in the stored results database 135 are accessed and "refresh" which is incremented when stored results in the stored results database 135 are updated.

Referring to Figure 3, the querying process may be as follows:

**STEP 300:** using the query generator 200, the user enters text description and/or any known SQL code to relevant fields of a query generator window to construct a query to present to the system. The entries made by the user constitute a case which can be searched against for matches in the casebase database 130. The tool can also construct a standard format SQL query to submit to the main database 120 from the entries made by the user simply by building the SQL query from the appropriate entries.

**STEP 305:** a case-based search is done against the presented query in the query casebase 130 and the most closely matching queries stored in the casebase 130 are returned.

**STEP 310:** queries stored in the casebase 130 carry an indicator in a "RESULTS-EXIST" field where the query has previously been run and there are results in the results database 135. At **STEP 310**, a check is made for each closely matching query which has been returned from the casebase 130 at **STEP 305** as to whether such results are already stored.

**STEP 315:** it may be that no closely matching queries were returned at **STEP 305**. In this case the user may want to start again, particularly if they are inexperienced and

need to run an existing query or need to have an existing query to modify so as to create a new query. The user is therefore offered the chance to start again at **STEP 300**, in which case the inexperienced user will probably try again to construct a new query that will bring an existing query at **STEP 305**. However, the experienced user  
5 may opt to proceed with the query they created at **STEP 300** or to base the query on a less closely matching query or even a dissimilar query found at **STEP 305**. This user will then be transferred to **STEP 325** below and offered the opportunity to edit their query before submission to the main database 120.

**STEP 320:** if results were located at **STEP 310**, being already stored for a closely  
10 matching query, the user is offered the opportunity to have them downloaded.

**STEP 330:** if the user selects to view the existing results, the closely matching query is submitted to the stored results database 135 and the results are downloaded to the user.

**STEP 325:** if the user selects not to view existing results at **STEP 320** for the closely  
15 matching query, the user is offered an opportunity to edit the closely matching query before moving to **STEP 330**, this time to submit the query to the main database 120. (If the user has not edited the closely matching query, this will simply have the effect of updating the search results for that query.)

**STEP 335:** any query which has been submitted to the main database 120 is  
20 reviewed in case it constitutes a new query. This is taken to be the case whenever the query submitted has less than a certain similarity threshold with any stored query in the casebase 130. This may be the situation for instance where the user has edited a closely matching query before submission to the main database 120.

**STEP 345:** new queries are automatically loaded to the casebase 130.

**STEP 340:** results from STEP 330 are returned to the user.

It can be seen from STEP 330 above that submission of a query to the stored results database 135 and the main database 120 can be treated similarly. In each case, the query being submitted is a SQL query. It is convenient that the stored  
5 results database 135 is located with the main database, simply being partitioned therefrom. That is, the stored results database 135 is built in table format and embedded in the main database 120.

Referring to Figures 2 and 3, it has been found convenient that, once the user has defined a query for submission to the main database 120, a results window 205 is  
10 presented to the user and the query is submitted directly to the main database 120 from the results window 205.

### Other Capabilities

In addition to the basic capabilities outlined above the following are provided:

- 15 • The user can choose to view a list of the five most frequently used queries. The user can select one of these to run directly or to use as the basis of a new query,
- The user can be presented with meta-data associated with an existing query. Meta-data is a known term for information associated with data, other than the data itself. The meta-data in this case includes for instance the original author,  
20 the date, query execution time, whether the results exist and if so, an identifier and size,
- The user has the option to run a subsequent query on the results returned or previously stored,
- The user has the option of updating the stored results database 135 with the  
25 results of rerunning an existing query.

## Case Structure, Matching and Retrieval

A major part of embodiments of the present invention is the definition of a case based on a SQL query. To define each case for the case base 130, a basic SQL statement is broken down by it's structure, and parts of that structure are then used as  
5 fields for a case in the case base 130.

CBR matches cases against each other and different weights can be given to matches between different fields in a case. For instance, a field might be the "from clause" of a SQL query which determines which databases, or sections of databases, are to be searched. This might be given particularly high weighting so that a SQL  
10 query will only be selected as a similar query and offered to the user if it looks at the same tables of a database.

The structure of the cases is described in Table 1 below.

Feature	Match Type	Match Weight	Mis-match Weight
NOTES	Word	20	0
SELECT-CLAUSE	Word	25	0
FROM-CLAUSE	Character	45	0
WHERE-CLAUSE	Character	10	0
GROUP-BY-CLAUSE	Word	5	0
HAVING-CLAUSE	Word	1	0
ORDER-BY-CLAUSE	Word	1	0
ROWS_SELECTED	#	#	#
QUERY_TIME	#	#	#
CREATOR	#	#	#
RESULTS_EXIST	#	#	#
RESULTS_REF	#	#	#
DATE_CREATED	#	#	#

15 Table 1. Case Structure

The NOTES feature is free text describing the data that should be returned from the query to be written. The main features are then those that correspond to the structure of a simple SQL query. The items in italics are the meta-data. This is additional information which may have an impact on the user's final choice but is not part of the casebase index. In addition each case has a unique identifier (not shown in the table).

The choice of match types and weights is optional. In the example of Table 1, they are based on knowledge about the domain of SQL querying and initial experimentation. For example, the most important feature is the FROM-CLAUSE because this determines the specific tables from which the data will be retrieved. It will be of "character" type because of the manner of identifying tables in the database to be searched. In this particular example, queries are not penalised for not matching against a feature value and therefore all mis-match weights are zero.

An example case is as follows:

Feature	Value
NOTES	Top ten business for ISDN2
SELECT-CLAUSE	distinct (a.local_number) , tally, direction, position, s.site_number, business_name
FROM-CLAUSE	CCBA_ISDN_2 a, sites s
WHERE-CLAUSE	a.site_number = s.site_number and position <= 10
GROUP-BY-CLAUSE	(empty)

HAVING-CLAUSE	(empty)
ORDER-BY	(empty)
ROWS-SELECTED	10
QUERY-TIME	00:00:03
CREATOR	RTS
RESULTS-EXIST	YES
RESULTS-REF	TOPTENPROD
DATE-CREATED	2-Feb 98 16:00

Table 2. Example Case

Table 2 shows the fields of a SQL query to locate the top ten communications sites generating traffic on ISDN2 lines (Integrated Services Digital Network lines based on the capacity of two conventional speech telephony lines).

- 5       The matching process between queries is a straight forward use of CBR and applies the in-built capabilities of the environment as described in ART\*Enterprise Brightware Inc, 1996, *ARTScript Programming Guide 3, Rules & CBR*. Each feature is compared and scored according to its type: *string*; *word*; and *character*. These are combined taking into account the weights to give an overall feature score, or similarity
- 10   score, for the case. A threshold of 0.4 is set above which a case must score to be retrieved. (The feature score can also be used to determine automatically when a query is sufficiently different from stored queries to be added to the casebase database 130. In these circumstances, a score of less than 0.4 means that the query will be added to the casebase database 130.) The maximum number of cases
- 15   retrieved is set to 10. These values are arbitrary but have been found to be convenient. Other values may be preferred for instance where an embodiment of the invention is applied to quite a different domain or for a different purpose.

The feature score for numeral matching is generated in a known manner, as follows:

$$feature - score_{f,i} = mw_{f,i} - \frac{|cv_{f,i} - pcv_{f,i}|}{mdev_{f,i}} (mw_{f,i} - mmw_{f,i})$$

where:

- 5  $mw_{f,i}$  is the match weight of feature  $f$  for case  $i$ ;  
 $mmw_{f,i}$  is the mismatch weight of feature  $f$  for case  $i$ ;  
 $mdev_{f,i}$  is the match deviation of feature  $f$  of case  $i$ ;  
 $cv_{f,i}$  is the numeric value for feature  $f$  of case  $i$ ; and  
 $pcv_{f,i}$  is the numeric value for feature  $f$  of the presented case.

The feature score for text matching is generated in known manner. The formula is as  
 10 follows:

$$feature - score_{f,i} = mmw_{f,i} + \frac{msf_{f,i}}{tsf_f} (mw_{f,i} - mmw_{f,i})$$

where:

- 15  $mmw_{f,i}$  is the match weight of feature  $f$  for case  $i$ ;  
 $mw_{f,i}$  is the mismatch weight of feature  $f$  for case  $i$ ; and  
 $msf_{f,i}$  is the number of matching sub-features of feature  $f$  for case  $i$ .

Domain specific aliases (i.e. different words which have the same or similar meaning) may be taken into account during this calculation. The result is that the quality of the  
 20 text matching is improved because the algorithm matches on meaning (semantics) rather than raw text (syntax). Typically, this is achieved by replacing each word by a symbol as determined by reference to a thesaurus that maps different words having the same meaning for a given domain to the same symbol. Data storage can be allocated to provide means for storing the thesaurus. The thesaurus functionality may  
 25 be provided by a knowledge base (not shown) which includes domain specific knowledge and means for mapping that knowledge to non-domain specific knowledge.

A number of data areas are defined for embodiments of the present invention:

- 30 • Database 120

The location of the data on which the queries will be run



- Query Casebase 130

The casebase containing the past queries

- Stored Results 135

The data sets returned by the past queries

5 • Behaviour Database 230

The functions of most of these have been discussed above. The behaviour database 230 however stores the values of counters which record the usage of each case. The counters are; (i) 'Select', which increments when a query is selected, (ii) 'View', which  
 10 increments when the stored results are accessed and, (iii) 'Refresh', which increments if stored results are updated.

Each count can be provided as a field associated with a result in the results database 135 or with a query in the case base 130. Each time a count is incremented, it is incremented by updating the count field. Management information  
 15 can then be presented by searching the results database 135 and/or the query case base 130 to locate results or queries with count fields putting them above a selected threshold, such as in the top five or top ten of the whole database 135, 130 in each case. However, as shown, the counts are maintained in an additional data store, the behaviour database 230, where queries or results can be associated with their  
 20 relevant count by their position in an array or by being allocated respective identifiers against which the counts are maintained.

One way of designing the behaviour database 230 is to structure the count data as cases. It can then be searched by running a dummy case in which all the counters are set to maximum and searching for a selected number of most closely  
 25 matching cases, such as the "Top 5" cases. That is, a case match is done just on the count fields.

Figures 4 to 6 show the three main windows presented to the user in various statuses of the casebased query construction tool 100.

Referring to Figure 4, the Top 5 Queries window 410 shows the most 'popular' queries based on their usage as defined by the values of the counters of the behaviour database 230. This window is one of several windows that might be presented to the user for accessing the behaviour database 230. The user can select a query listed on the Top 5 Queries window 210 to submit directly to the main database 120, to use as a presentation case (optionally modified) for a CBR search, or to modify and submit i.e. as input to STEP 300.

Referring to Figure 5, the Query Generator window 400 is the main search and construction window. The user enters descriptive values into the fields (not shown) associated with each feature. At any time the user can present the query to the casebase 130 or send the query for submission to the main database 120. Buttons present on the window are;

- TOP 5: the function attached to this button causes the Top 5 window to appear
- SEARCH: this function invokes a casebase match and retrieval. The results of the search appear in the drop-down-list-box at the top of the window.
- CLEAR: clears the entries in the fields
- ALTER CASE: allows the user to modify the contents of a case
- CANCEL: closes the window
- SUBMIT: executes the SQL in the window, after checking the validity of the code. If the SQL submitted is sufficiently dissimilar from any contained within the casebase 130 then a new case is created automatically without the user knowing. The returned results are presented in the Results window.

Referring to Figure 6, the Results window 405 displays the final SQL 600 as generated from the Query Generator window and the returned results 605. The SQL can be modified and resubmitted directly from this window 405 allowing a follow-up query on previously returned results.

- 5 (A window which is not shown here is the database login window. This is of standard type however.)

In embodiments of the present invention in use, the user may enter values for as many case features as required. If just the notes feature is specified then queries can be found without any knowledge of SQL or the database schema. This allows  
10 complete SQL novices to retrieve queries. Of course, it may be that unless an exact match is found then such a complete novice will not be able to proceed because modifications to the query would be required. Whether this is a problem depends upon the circumstances. It could be imagined that the novices would deal with straightforward queries and pass those that needed changes to more senior users.

- 15 Improvements which the person skilled in the art might wish to make for a particular use of embodiments of the present invention are as follows:

- Tuning of the choice of feature match types and weights;
- Inclusion of a full domain specific thesaurus to cope with aliases within and across databases;
- 20 • Development of use of the meta data, for example, prediction of query times or deriving a 'cost' metric for the query. Such development is discussed in a paper by Liu, L., Pu, C. 1997, entitled *A Metadata Based Approach to Improving Query Responsiveness*, (<http://computer.org/conferen/proceed/meta97/papers/liu/lingliu-full.html>);
- 25 • Techniques for supporting time/resource constrained queries;

- Long term management of the casebase, including policies for the creation, deletion and indexing of cases;
  - Making use of other types of meta-data such as information in the schema of the database being queried;
- 5 • Making more use of the behaviour data, for example, to monitor user skill/familiarity levels for intelligent allocation of query requests, or to detect trends across users at different times of the year to plan resources optimally; and
- Acceptable ways of obtaining user feedback on how useful the query was. It is known that users become frustrated when continually forced to enter supplementary
- 10 information not directly relevant to achieving their task at hand.

## CLAIMS

1. A database access tool comprising:
  - i) means for constructing database queries;
  - 5 ii) a query store for storing database queries;
  - iii) a search tool for searching the query store against a constructed query; and
  - iv) query submission means for selecting between a constructed query and a query located against it by the search tool, and for submitting the selected query to a database.
- 10 2. A tool according to Claim 1 wherein the means for constructing database queries comprises user input means for loading data to at least one data field in a database query and the search tool comprises means to calculate a similarity factor between data fields in database queries stored in the query  
15 store and at least one data field in a newly constructed database query.
3. A tool according to Claim 2 wherein the query store and the search tool are constructed according to use of case based reasoning (CBR) and the means for constructing database queries does so to construct a query as a case.
- 20 4. A tool according to Claims 2 or 3 wherein management information data is collected in use of the tool to submit queries to the database, the tool further comprising means for collecting said management information, structuring the management information for a respective query in the same manner as a

database query constructed by the tool and loading the structured  
management information to a management information data store, said  
management information data store being searchable by means of the search  
tool.

5

5. A database access tool according to any preceding claim, further comprising a  
data store for storing results associated with previous database queries and  
wherein the search tool is further operable, when a located query is identical or  
similar to the constructed query, to return the results stored in the data store  
10 that are associated with the located query.

10

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## ABSTRACT

DATABASE ACCESS TOOL

Embodiments of the invention alleviate problems relating to databases access,  
5 particularly when the database is very large and complex such as in the marketing  
domain. This domain is characterised by very large databases containing many  
Gigabytes of customer related information. Many different types of users can need to  
query a database and in large businesses. Different users may have different abilities  
or familiarity with database access. Embodiments of the present invention provide a  
10 database access tool which makes database access easier for users having different  
abilities by storing previous queries and reusing them in response to subsequent  
queries.

Figure (1)

15

Fig.1.

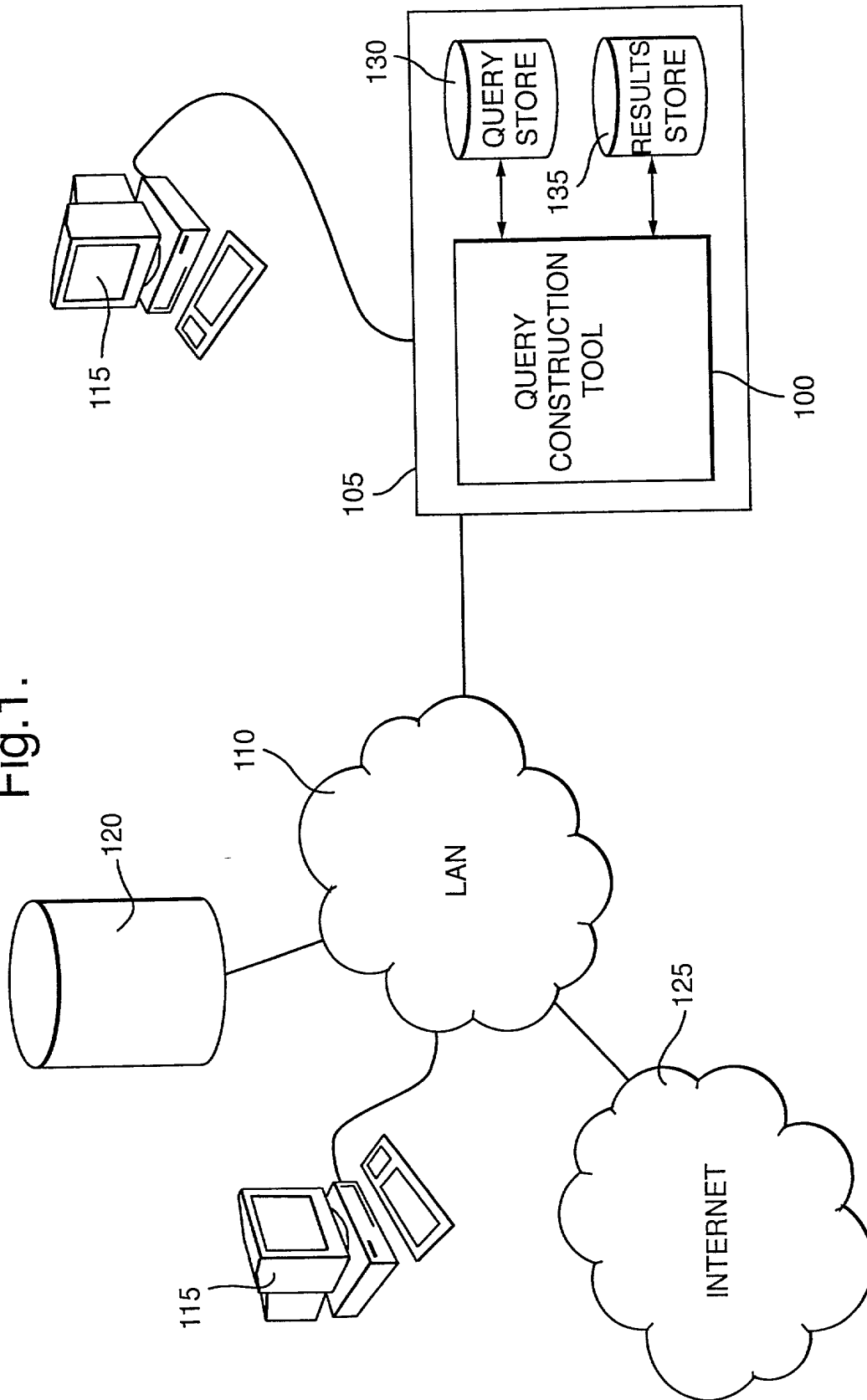
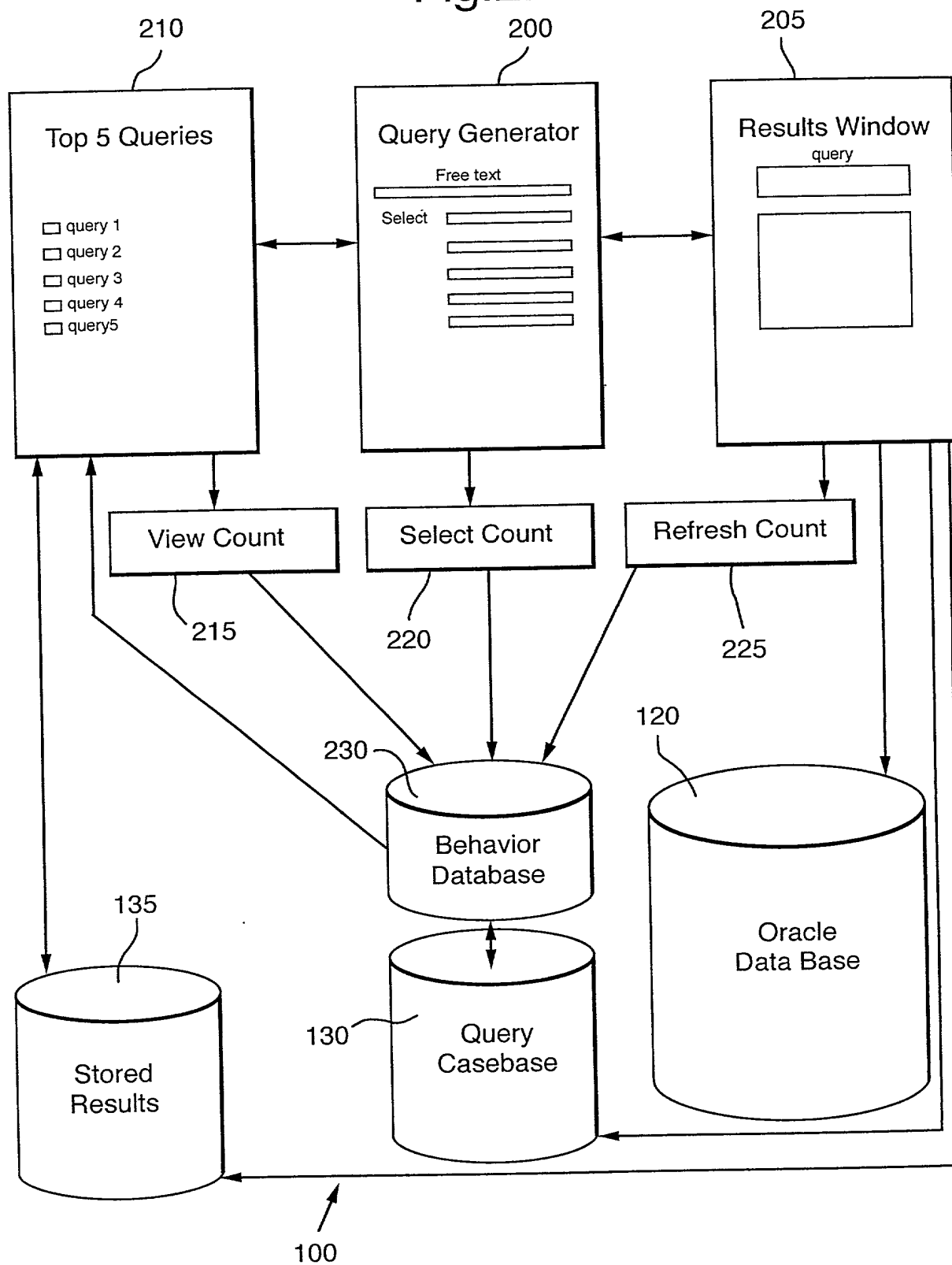


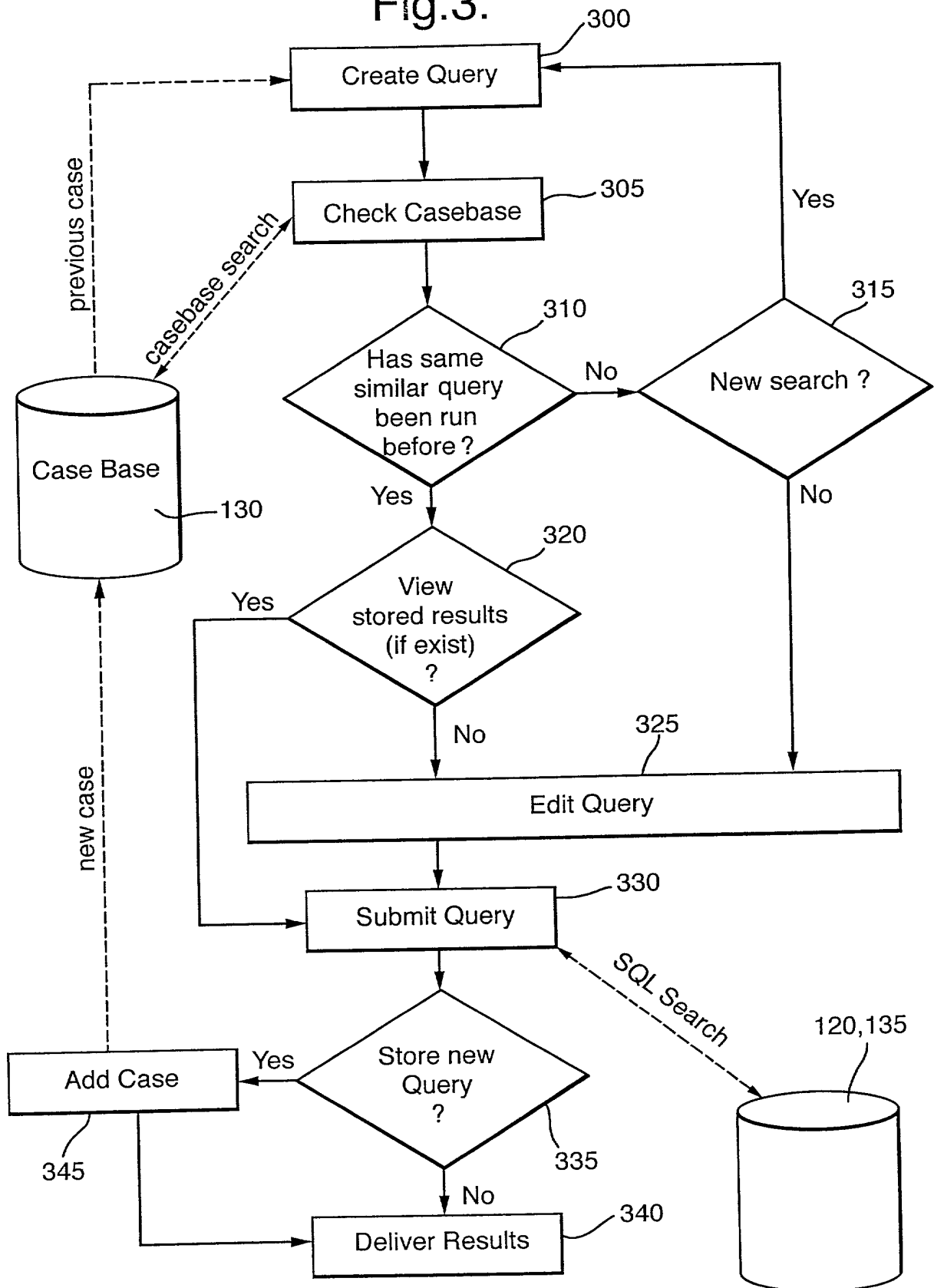


Fig.2.



3/5

Fig.3.



4/5

Fig.4.

Top 5 Queries

- all hipi calls longer than 1800
- charge bands in hipi calls**
- top 10 ISDN 2
- top 10 ordinary res calls
- Top ten business for ISDN2

☒ Random  
☐ First 10 rows  
☐ Stored results

View  
Select

410

Fig.6.

Intelligent Query Manager SQL browser

Database: Oracle direct

SQL: SELECT\*FROM TOPTENBUSISDN2

Execute SQL Action  
Keep Results  
New Connection

Results

SITE_NUMBER	CALLING_NUMBER	TALLY	POSITION	BUSINESS_NAME
SSB46743		30074	1	
SSA03946		20739	2	
SSA03946		8746	5	
SSA03946		5018	8	
SSC70715		4361	10	
SSC40741		4914	9	
SSA51947		7276	7	
23638719		8654	6	
SSC64402		18017	4	
SSC64402		18025	3	

405

Fig.5.

Multi User Knowledge Capture Administrator

90: Top ten business for ISDN2 ▼

Free Text Description

Top ten business for ISDN2

Top 5  
Search  
Clear  
Alter Case  
Cancel

Meta Data

How Selected      Query Time 00:00:00      Results Exist YES

Creator REG      **Results Ref**      TOPTENPROD      Number 4

Date:-----

**RULE 63 (37 C.F.R. 1.63)**  
**DECLARATION AND POWER OF ATTORNEY**  
**FOR PATENT APPLICATION**  
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

As a below named inventor, I hereby declare that my residence, post office address and citizenship are as stated below next to my name, and I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **DATABASE ACCESS TOOL** the specification of which (check applicable box(es)):

☐ is attached hereto.

☐ was filed on \_\_\_\_\_ as U.S. Application Serial No. \_\_\_\_\_

☒ was filed as PCT international application No. PCT/ **GB99/01278** on **23 April 1999**

and (if applicable to U.S. or PCT application ) was amended on \_\_\_\_\_

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with 37 C.F.R. 1.56. I hereby claim foreign priority benefits under 35 U.S.C. 119/365 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed or, if no priority is claimed, before the filing date of this application:

**Prior Foreign Application(s):**

Application Number	Country	Day/Month/Year Filed
<u><b>9808988.1</b></u>	<u><b>GB</b></u>	<u><b>27 April 1998</b></u>
<u><b>98307123.4</b></u>	<u><b>EP</b></u>	<u><b>04 September 1998</b></u>

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number	Day/Month/Year Filed
_____	_____

I hereby claim the benefit under 35 U.S.C. 120/365 of all prior United States and PCT international applications listed above or below and, insofar as the subject matter of each of the claims of this application is not disclosed in such prior applications in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose material information as defined in 37 C.F.R. 1.56 which occurred between the filing date of the prior applications and the national or PCT international filing date of this application:

**Prior U.S./PCT Application(s):**

Application Serial No.	Day/Month/Year Filed	Status: patented pending, abandoned
<u><b>PCT/GB99/01278</b></u>	<u><b>23 April 1999</b></u>	

I hereby declare that all statements made herein of my own knowledge are true and that statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon. And I hereby appoint **NIXON & VANDERHUYE P.C., 1100 North Glebe Road, 8th Floor, Arlington, VA 22201-4714, telephone number (703) 816-4000 (to whom all communications are to be directed),** and the following attorneys thereof (of the same address) individually and collectively my attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith and with the resulting patent: Arthur R. Crawford, 25327; Larry S. Nixon, 25640; Robert A. Vanderhuy, 27076; James T. Hosmer, 30184; Robert W. Faris, 31352; Richard G. Besh, 22770; Mark E. Nusbaum, 32348; Michael J. Keenan, 32106; Bryan H. Davidson, 30251; Stanley C. Spooner, 27393; Leonard C. Mitchard, 29009; Duane M. Byers, 33363; Paul J. Henon, 33626; Jeffrey H. Nelson, 30481; John R. Lastova, 33149; H. Warren Burnam Jr., 29366; Thomas E. Byrne, 32205; Mary J. Wilson, 32955; J. Scott Davidson, 33489; Alan M. Kagen, 36178; William J. Griffith, 31260; Robert A. Molan, 29834.

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**FOR ADDITIONAL INVENTORS, check box ☐ and attach sheet with the same information and signature and date for each.**